Electronic Ac	cknowledgement Receipt	
EFS ID:	6705323	
Application Number:	10775868	
International Application Number:		
Confirmation Number:	1175	
Title of Invention:	Insider trading risk management	
First Named Inventor/Applicant Name:	David Lawrence	
Customer Number:	54205	
Filer:	Walter G. Hanchuk/Daniel Sheridan	
Filer Authorized By:	Walter G. Hanchuk	
Attorney Docket Number:	17209-311CP1	
Receipt Date:	23-DEC-2009	
Filing Date:	10-FEB-2004	
Time Stamp:	19:49:05	
Application Type:	Utility under 35 USC 111(a)	

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$1110
RAM confirmation Number	8519
Deposit Account	
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
--------------------	----------------------	-----------	-------------------------------------	---------------------	---------------------

	Amendment/Req. Reconsideration-After	17209-311CP1_OAR.pdf	177702	no	15				
Non-Final Reject	17209-311CF1_OAN.pui	38a21fc38d058f5455509e4ac9bfb75e3ca4 a165	110						
Warnings:									
Information:									
2 Extension of Time	17209-311CP1_PetExtTime.pdf	109292	no	2					
2 Extension of time	17209 STITEL I_I CLEACITIME.pur	15edfda575c40ce8794394ae3d27a014f352 bdd1							
Warnings:	Warnings:								
Information:									
3 Fee Worksheet (PTO-875)	fee-info.pdf	30251	no	2					
		30bf0c888cc2bf5c9fc49993bbba064284ad 59d1							
Warnings:									
Information:									
	Total Files Size (in bytes): 317245								

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.